

FORM PTO/SB/08A/B (10-01)  
Substitute for PTO-1449A/B

### INFORMATION DISCLOSURE

### STATEMENT BY APPLICANT

(use as many sheets as necessary)

Attorney Docket Number	47476/DMC/S965
Application Number	10/000,141
Filing Date	October 30, 2001
Applicant(s)	Bardia Pezeshki, et al.
Group Art Unit	2828
Examiner Name	James W. DAVIE

### U.S. PATENT DOCUMENTS

EXAMINER INITIALS	Cite No. <sup>1</sup>	DOCUMENT NUMBER Number - kind code <sup>2</sup> . (If known)	PUBLICATION DATE MM-DD-YYYY	NAME OF PATENTEE
SD		3,924,937	12-09-1975	Munroe et al.
		4,820,899	04-11-1989	Hikima et al.
		5,699,589	12-23-1997	Ripley et al.
		US 6,183,092 B1	02-06-2001	Troyer

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EXAMINER INITIALS	Cite No. <sup>1</sup>	Foreign Patent Document Country Code <sup>3</sup> - Number <sup>4</sup> . Kind Code <sup>5</sup> (If known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	T <sup>6</sup> (✓)

### OTHER DOCUMENTS

EXAMINER INITIALS	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article, title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.
SD		International Search Report dated 01 November 2002 for International Application No. PCT/US01/45691 and mailed 06 January 2003 (3 pages)

EXAMINER SIGNATURE		DATE CONSIDERED	12/04/03
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FORM PTO/SB/68A/B (10-01)  
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Group Art Unit	2828
Examiner Name	James W. Davie


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U.S. PATENT DOCUMENTS				
EXAMINER INITIALS	Cite No. <sup>1</sup>	DOCUMENT NUMBER Number - Kind Code <sup>2</sup> (If Known)	PUBLICATION DATE MM-DD-YYYY	NAME OF PATENTEE
JD		5,289,485	02-22-1994	Mooradian
		5,784,183	07-21-1998	Aoki et al.
		5,999,303	12-07-1999	Drake
		6,044,705	04-04-2000	Neukermans et al.

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EXAMINER INITIALS	Cite No. <sup>1</sup>	Foreign Patent Document Country Code <sup>3</sup> - Number <sup>4</sup> - Kind Code <sup>5</sup> (If Known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	T <sup>6</sup> (✓)
JD		EP 0924821 A1	06-23-1999	NEC Corporation	
JD		WO 95/13638	05-18-1995	International Business Machines Corporation	
JD		JP 11326707	11-26-1999	Matsushita Electric Ind. Co. Ltd.	Abstract
JD		JP 56060088	05-23-1981	NEC Corporation	Abstract Only
JD		JP 2002246699	08-30-2002	Hitachi Ltd.	Abstract Only

OTHER DOCUMENTS		
EXAMINER INITIALS	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article, title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.
JD		International Search Report dated 21 January 2003 for International Application No. PCT/US01/24969 and mailed 28 January 2003 (3 pages).

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JD		5,491,576	02-13-1996	Bergano
		5,959,750	09-28-1999	Eskildsen et al.
		5,993,544	11-30-1999	Knauss et al.
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		US 6,522,793 B1	02-18-2003	Szilagyi et al.

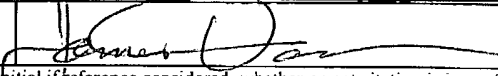
**FOREIGN PATENT DOCUMENTS**

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Examiner Name

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38		5,715,047	02-03-1998	Adamovsky
38		5,784,507	07-21-1998	Holm-Kennedy et al.

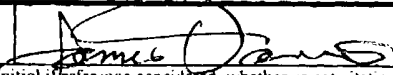
**FOREIGN PATENT DOCUMENTS**

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EXAMINER INITIALS	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article, title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.

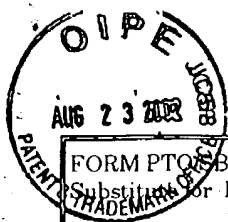
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<small>EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup>See Kinds Codes of USPTO Patent Documents at www.pto.gov or MPEP 901.4. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO standard ST.3). <sup>4</sup>For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup>Applicant is to place a check mark here if English Language Translation is attached.</small>			

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Sheet 1 of 1



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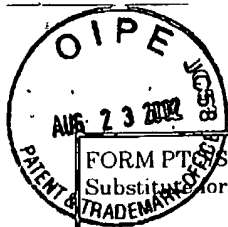
<b>Attorney Docket Number</b>	<b>47476/DMC/S965</b>
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Applicant(s)	Bardia Pezeshki, et al.
Group Art Unit	2881
Examiner Name	To Be Assigned

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EXAMINER INITIALS	Cite No. <sup>1</sup>	DOCUMENT NUMBER Number - kind code <sup>2</sup> (If known)	PUBLICATION DATE MM-DD-YYYY	NAME OF PATENTEE
		4,359,773	11-16-1982	Swartz et al.
		4,498,730	02-12-1985	Tanaka et al.
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		5,953,359	09-14-1999	Yamaguchi et al.

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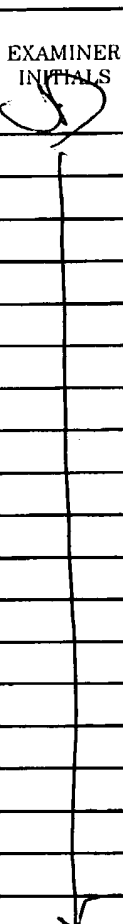
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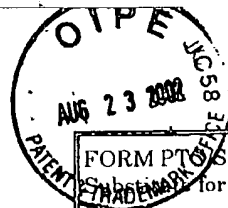
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**Applicant(s)** Bardia Pezeshki, et al.

**Group Art Unit** 2881

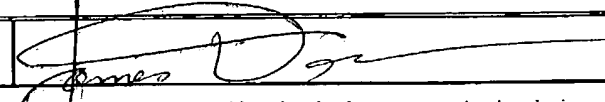
**Examiner Name** To Be Assigned

**FOREIGN PATENT DOCUMENTS**

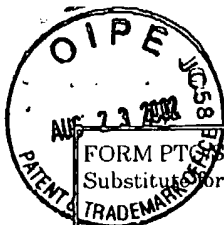
EXAMINER INITIALS	Cite No. <sup>1</sup>	Foreign Patent Document Country Code <sup>3</sup> - Number <sup>4</sup> - Kind Code <sup>5</sup> (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	T <sup>6</sup> (✓)
JD		FR 2805092	08-17-2001	Corning Incorporated	
		WO 02/37069 A1	05-10-2002	Santur Corporation	
		WO 02/37621 A2	05-10-2002	Santur Corporation	
		WO 02/058197 A2	07-25-2002	Santur Corporation	

**OTHER DOCUMENTS**

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JD		"Broadband Lightwave Sources and System", Gayton Photonics Ltd., <a href="http://www.infowin.org/ACTS/RUS/PROJECTS/ac065.htm">http://www.infowin.org/ACTS/RUS/PROJECTS/ac065.htm</a> , printed 10-17-2000 (4 pages).
		Dellunde, Jaume, "Laser diodes", <a href="http://www.geocities.com/jdellund/receng.htm">http://www.geocities.com/jdellund/receng.htm</a> , printed 08/08/2001 (4 pages).
		Hunter, D.K., et al., "Guided wave optical switch architectures. Part 1. Space switching", International Journal of Optoelectronics, Vol. 9, No. 6, 1994 (pages 477-487).
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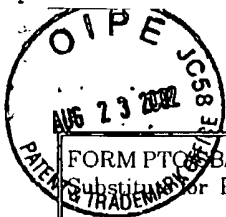
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		Daneman, M. J., et al., "Laser-to-Fiber Coupling Module Using a Micromachined Alignment Mirror", IEEE Photonics Technology Letters, Vol. 8, No. 3, March 1996 (pages 396-398).
		Wu, M., "Micromachining for Optical and Optoelectronic Systems", Proceedings of the IEEE, Vol. 85, No. 11, November 1997 (pages 1833, 1943-1952).
		Jacques, S., "Phase conjugate mirror and diffraction grating yield stable, collimated, coherent, high-power diode laser.", Oregon Medical Laser Center Newsletter, <a href="http://omlc.ogi.edu/news/dec97/pclaser.html">http://omlc.ogi.edu/news/dec97/pclaser.html</a> , printed 04/09/2001, (2 pages).
		Shirasaki, M., "Chromatic-Dispersion Compensator Using Virtually Imaged Phased Array", IEEE Photonics Technology Letters, Vol. 9, No. 12, December 1997 (pages 1598-1600).
		Kudo, K., et al., "Multiwavelength microarray semiconductor lasers", Electronics Letters, Vol. 34, No. 21, 15 October 1998, (pages 2037-2039).
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		"(BW)(OH-MARCONI-COMM-2) Marconi Communications Announces World-Beating Commercial Tuneable Laser at Telecom '99", Press Release, <a href="http://www.businesswire.com/cgi-bin/ts_headline.sh?bw.101199/192842212">http://www.businesswire.com/cgi-bin/ts_headline.sh?bw.101199/192842212</a> , October 11, 1999, printed 10/17/2000 (2 pages).
		Maluf, N., "Optical Switches", An Introduction to Microelectromechanical Systems Engineering, 2000, pages 187-190 (3 pages).
		Nakano, H., "TECHNOLOGICAL TRENDS OF OPTICAL COMMUNICATION DEVICES FOR DWDM", NEC Device Technology International 2000, No. 59 (5 pages).
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**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(use as many sheets as necessary)

**Attorney Docket Number** 47476/DMC/S965

**Application Number** 10/000,141

**Filing Date** October 30, 2001

**Applicant(s)** Bardia Pezeshki, et al.

**Group Art Unit** 2881

**Examiner Name** To Be Assigned

**OTHER DOCUMENTS**

EXAMINER INITIALS	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article, title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.
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